

## Exhibit 300: Capital Asset Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview & Summary Information

**Date Investment First Submitted:** 2009-06-30  
**Date of Last Change to Activities:** 2012-07-24  
**Investment Auto Submission Date:** 2012-02-29  
**Date of Last Investment Detail Update:** 2012-02-24  
**Date of Last Exhibit 300A Update:** 2012-08-22  
**Date of Last Revision:** 2012-08-22

**Agency:** 024 - Department of Homeland Security      **Bureau:** 58 - Customs and Border Protection

**Investment Part Code:** 01

**Investment Category:** 00 - Agency Investments

**1. Name of this Investment:** CBP - Automated Targeting System (ATS) Maintenance

**2. Unique Investment Identifier (Ull):** 024-000005052

#### Section B: Investment Detail

- 1. Provide a brief summary of the investment, including a brief description of the related benefit to the mission delivery and management support areas, and the primary beneficiary(ies) of the investment. Include an explanation of any dependencies between this investment and other investments.**

The Automated Targeting System, or ATS, is a web - based enforcement and decision support tool that is the cornerstone for all CBPs targeting efforts. ATS incorporates intelligence information and technologies to target suspect inbound and outbound shipments for examinations and passengers for inspection. In this way, ATS allows Customs and Border Protection (CBP) officers to focus their efforts on cargo shipments and passengers that most warrant further attention. ATS standardizes names, addresses, ship names, and similar data so these data elements can be more easily associated with other business data to form a more complete picture of a passenger, import, or export in context with previous behavior of the parties involved. Every passenger and shipment processed through ATS is subjected to a real-time risk evaluation. Risk assessment strategies are multi-tiered in their approach and are founded on complex statistical studies, data analysis, and rules based on knowledge engineering. ATS consists of modules that provide selectivity and targeting capability to support CBP inspection and enforcement activities. Currently ATS consists of several modules that focus on exports, imports, passengers, land border private vehicle crossings, and import trends over time. The primary beneficiaries of ATS are: CBP Officers and Analysts, the CBP National Targeting Center, CBP Office of Field Operations (OFO), CBP Office of Intelligence and Investigative Liaison (OIIL), CBP Office of International Trade (OT), U.S. Immigration and Customs Enforcement (ICE), DHS Office of Intelligence and Analysis

and the Transportation Security Administration (TSA). There are no dependencies between ATS and other investments"".

**2. How does this investment close in part or in whole any identified performance gap in support of the mission delivery and management support areas? Include an assessment of the program impact if this investment isn't fully funded.**

The ATS systems have allowed the CBP Officers to process large volumes of data efficiently. However, as volumes increase in people, cargo and conveyances, officers require increasingly efficient access to information and more information on which to base critical admission decisions. The systems investments are also intended to address data quality improvements, including entity and name resolution to assure that efforts are focused only on those persons and cargo that truly present a threat to the Homeland.

**3. Provide a list of this investment's accomplishments in the prior year (PY), including projects or useful components/project segments completed, new functionality added, or operational efficiency achieved.**

7/31/11: Provide Air Cargo Advanced Screening (ACAS) data for 4 commercial carriers for use in targeting pre-departure air shipments in response to 10/27/10 terrorism related incident in express consignment shipment. 9/30/11: Complete development of ATS/P data warehouse. This allows flexibility of customer support by providing workspace outside of the production environment for research, data pulls, link analysis and report generation. 9/30/11: Implement proactive ATS application software monitoring capability. Proactive monitoring is important to ATS to ensure that any system degradation or outage is rapidly identified and resolved to ensure that the system is available for end users supporting the CBP border security and compliance mission.

**4. Provide a list of planned accomplishments for current year (CY) and budget year (BY).**

Modernize and expand export processing and PGA (Participating Government Agencies) support, Global vessel tracking capabilities, enhance passenger targeting support for other agencies (such as TSA and DoS), rework visualization capabilities to better support officer efficiencies, improve system monitoring. Infrastructure improvements to conform to CBP target architecture, modernize targeting capability through the use of predictive models, improve data quality, entity maintenance and resolution to better identify threats and facilitate normal traffic flows. Expand electronic submission capabilities to facilitate trade and improve workflow efficiency.

**5. Provide the date of the Charter establishing the required Integrated Program Team (IPT) for this investment. An IPT must always include, but is not limited to: a qualified fully-dedicated IT program manager, a contract specialist, an information technology specialist, a security specialist and a business process owner before OMB will approve this program investment budget. IT Program Manager, Business Process Owner and Contract Specialist must be Government Employees.**

2011-06-24

## Section C: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.C.1 Summary of Funding

|  | PY-1<br>&<br>Prior | PY<br>2011 | CY<br>2012 | BY<br>2013 |
|--|--------------------|------------|------------|------------|
| Planning Costs:  | \$0.4              | \$0.0      | \$0.0      | \$0.0      |
| DME (Excluding Planning) Costs:                            | \$37.2             | \$0.0      | \$0.0      | \$0.0      |
| DME (Including Planning) Govt. FTEs:                       | \$0.0              | \$0.0      | \$0.0      | \$0.0      |
| Sub-Total DME (Including Govt. FTE):                       | \$37.6             | 0          | 0          | 0          |
| O & M Costs:   | \$198.1            | \$30.1     | \$29.6     | \$111.2    |
| O & M Govt. FTEs:  | \$14.4             | \$3.8      | \$5.1      | \$5.1      |
| Sub-Total O & M Costs (Including Govt. FTE):               | \$212.5            | \$33.9     | \$34.7     | \$116.3    |
| Total Cost (Including Govt. FTE):                          | \$250.1            | \$33.9     | \$34.7     | \$116.3    |
| Total Govt. FTE costs:                                     | \$14.4             | \$3.8      | \$5.1      | \$5.1      |
| # of FTE rep by costs:                                     | 38                 | 27         | 32         | 32         |
|  |                    |            |            |            |
| Total change from prior year final President's Budget (\$) |                    | \$0.2      | \$-0.1     |            |
| Total change from prior year final President's Budget (%)  |                    | 1.00%      | 0.00%      |            |

**2. If the funding levels have changed from the FY 2012 President's Budget request for PY or CY, briefly explain those changes:**

Additional funding appropriated for targeting-related support activities.

## Section D: Acquisition/Contract Strategy (All Capital Assets)

Table I.D.1 Contracts and Acquisition Strategy

| Contract Type | EVM Required | Contracting Agency ID          | Procurement Instrument Identifier (PIID) | Indefinite Delivery Vehicle (IDV) Reference ID | IDV Agency ID | Solicitation ID | Ultimate Contract Value (\$M) | Type | PBSA ? | Effective Date | Actual or Expected End Date |
|---------------|--------------|--------------------------------|--|--|---------------|-----------------|-------------------------------|------|--------|----------------|-----------------------------|
| Awarded       | 7014         | <a href="#">HSBP1109C02305</a> |  |  |               |                 |                               |      |        |                |                             |
| Awarded       | 7014         | <a href="#">HSBP1010J00482</a> | HSHQDC07D00024                           | 7001   |               |                 |                               |      |        |                |                             |
| Awarded       | 7014         | <a href="#">HSBP1011J00327</a> | HSBP1009D02335                           | 7014   |               |                 |                               |      |        |                |                             |
| Awarded       | 7014         | <a href="#">HSBP1011J00288</a> | HSHQDC07D00020                           | 7001   |               |                 |                               |      |        |                |                             |
| Awarded       | 7014         | <a href="#">HSBP1011J00735</a> | HSHQDC06D00023                           | 7001   |               |                 |                               |      |        |                |                             |
| Awarded       | 7014         | <a href="#">HSBP1011J00453</a> | HSBP1009D02335                           | 7014   |               |                 |                               |      |        |                |                             |
| Awarded       | 7014         | <a href="#">HSBP1012C00037</a> | HSBP1012C00037                           | 7014   |               |                 |                               |      |        |                |                             |
| Awarded       | 7014         | <a href="#">HSBP1012J00086</a> | HSHQDC07D00020                           | 7014   |               |                 |                               |      |        |                |                             |
| Awarded       | 7014         | <a href="#">HSBP1012J00322</a> | HSHQDC07D00024                           | 7001   |               |                 |                               |      |        |                |                             |
| Awarded       | 7012         | <a href="#">HSBP1012J00448</a> | HSBP1009D02335                           | 7014   |               |                 |                               |      |        |                |                             |

**2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:**

ATS is currently in operations and maintenance. Although earned value is not required at this time, if future development is required, all contracts will be earned value compliant. Operational analysis is conducted annually and as needed to ensure the ATS Maintenance investment is meeting cost, schedule, and performance objectives. Although earned value is not required for operations and support investments, Cost, Schedule, and Performance are monitored and reported through regular program reviews and periodic reporting. ATS has consistently achieved performance objectives on schedule within budget / cost constraints. Earned value is tracked and measured at the program level for all contracts based on project plans and actual expenditures. This program level monitoring is required because projects

involve multiple contracts, contractors, and supporting organizations.

## Exhibit 300B: Performance Measurement Report

### Section A: General Information

**Date of Last Change to Activities:** 2012-07-24

### Section B: Project Execution Data

**Table II.B.1 Projects**

| Project ID | Project Name        | Project Description             | Project Start Date | Project Completion Date | Project Lifecycle Cost (\$M) |
|------------|---------------------|---------------------------------|--------------------|-------------------------|------------------------------|
| 1          | Passenger Iteration | Passenger maintenance releases. |                    |                         |                              |
| 4          | Cargo Iteration     | Cargo maintenance releases.     |                    |                         |                              |

**Activity Summary**

Roll-up of Information Provided in Lowest Level Child Activities

| Project ID | Name                | Total Cost of Project Activities (\$M) | End Point Schedule Variance (in days) | End Point Schedule Variance (%) | Cost Variance (\$M ) | Cost Variance (%) | Total Planned Cost (\$M) | Count of Activities |
|------------|---------------------|--|---------------------------------------|---------------------------------|----------------------|-------------------|--------------------------|---------------------|
| 1          | Passenger Iteration |  |                                       |                                 |                      |                   |                          |                     |
| 4          | Cargo Iteration     |  |                                       |                                 |                      |                   |                          |                     |

**Key Deliverables**

| Project Name | Activity Name                           | Description  | Planned Completion Date | Projected Completion Date | Actual Completion Date | Duration (in days) | Schedule Variance (in days ) | Schedule Variance (%) |
|--------------|---|--|-------------------------|---------------------------|------------------------|--------------------|------------------------------|-----------------------|
| 1            | user interface and backend enhancements | ATS-P user interface and backend enhancements in support of OIL, NTC, Coast Guard, TSA | 2011-11-19              | 2011-11-19                | 2011-11-19             | 55                 | 0                            | 0.00%                 |





## Section C: Operational Data

Table II.C.1 Performance Metrics

| Metric Description   | Unit of Measure | FEA Performance Measurement Category Mapping         | Measurement Condition | Baseline          | Target for PY     | Actual for PY     | Target for CY     | Reporting Frequency |
|--|-----------------|--|-----------------------|-------------------|-------------------|-------------------|-------------------|---------------------|
| Increase number of records maintained in ATS for Passenger Name Records and Advanced Passenger Information cumulative measures | Number          | Technology - Reliability and Availability            | Over target           | 275000000.000000  | 289000000.000000  | 345677206.000000  | 300000000.000000  | Monthly             |
| Number of ATS/Passenger queries matched with system records  | Number          | Process and Activities - Productivity                | Over target           | 3500000000.000000 | 3900000000.000000 | 4921860174.000000 | 4000000000.000000 | Semi-Annual         |
| Number of positive hits resulting from specific rule identifiers that target potential threats                                 | Number          | Mission and Business Results - Services for Citizens | Over target           | 16000.000000      | 16500.000000      | 22064.000000      | 18000.000000      | Semi-Annual         |
| Number of ATS queries processed on cargo shipments   | Number          | Customer Results - Service Accessibility             | Over target           | 90000000.000000   | 22000000.000000   | 77822506.000000   | 92000000.000000   | Semi-Annual         |
| Number of ATS/N (inbound) unique entries entered for cargo identification  | Number          | Process and Activities - Productivity                | Over target           | 100000000.000000  | 105000000.000000  | 129341708.000000  | 110000000.000000  | Semi-Annual         |